

J1046 U.S. PTO  
09/17/01

09-19-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |                                     |
|------------------------|-------------------------------------|
| Attorney Docket No.    | D-2695/WOD                          |
| First Inventor         | R. Moffitt                          |
| Title                  | Dual Exhaust Energy Recovery System |
| Express Mail Label No. | EF109330761US                       |

1c911 U.S. PTO  
09/954564  
09/17/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 18]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 1 ]
5. Oath or Declaration [ Total Pages 19 ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|  |   |                                   |              |  |
|--|---|-----------------------------------|--------------|--|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here)                                 |                                   |              | <input type="checkbox"/> or <input checked="" type="checkbox"/> Correspondence address below |
| Name   | William O'Driscoll - 12-1   |                                   |              |  |
| Address  | The Trane Company<br>3600 Pammel Creek Road   |                                   |              |  |
| City   | La Crosse   | State                             | WI           | Zip Code   |
| Country  | United States   | Telephone                         | 608-787-2538 | Fax  |
| Name (Print/Type)  | William O'Driscoll  | Registration No. (Attorney/Agent) | 33,294       |  |
| Signature  |  |                                   |              | Date 5/17/2001   |

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$1256.00)

## Complete if Known

|                      |            |
|----------------------|------------|
| Application Number   |            |
| Filing Date          |            |
| First Named Inventor | R. Moffitt |
| Examiner Name        |            |
| Group Art Unit       |            |
| Attorney Docket No.  | D-2695/WOD |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **20-1434**  
Deposit Account Name **The Trane Company**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity  
Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

|     |     |     |     |                        |
|-----|-----|-----|-----|------------------------|
| 101 | 710 | 201 | 355 | Utility filing fee     |
| 106 | 320 | 206 | 160 | Design filing fee      |
| 107 | 490 | 207 | 245 | Plant filing fee       |
| 108 | 710 | 208 | 355 | Reissue filing fee     |
| 114 | 150 | 214 | 75  | Provisional filing fee |

## Fee Paid

|     |
|-----|
| 710 |
|     |
|     |
|     |
|     |

SUBTOTAL (1) (\$ 710)

## 2. EXTRA CLAIM FEES

|                    |           |         |           |                          |
|--------------------|-----------|---------|-----------|--------------------------|
| Total Claims       | <b>37</b> | -20** = | <b>17</b> | x <b>18</b> = <b>306</b> |
| Independent Claims | <b>6</b>  | - 3** = | <b>3</b>  | x <b>80</b> = <b>240</b> |
| Multiple Dependent |           |         |           | =                        |

|                |  |
|----------------|--|
| Extra Claims   |  |
| Fee from below |  |
| Fee Paid       |  |

Large Entity Small Entity  
Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

|     |     |     |     |  |
|-----|-----|-----|-----|--|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 80  | 202 | 40  | Independent claims in excess of 3                          |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid                      |
| 109 | 80  | 209 | 40  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 546)

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity  | Small Entity  | Fee Description | Fee Paid |  |  |
|---------------|---------------|-----------------|----------|--|--|
| Fee Code (\$) | Fee Code (\$) | Fee Code (\$)   |          |  |  |
| 105           | 130           | 205             | 65       | Surcharge - late filing fee or oath  |  |
| 127           | 50            | 227             | 25       | Surcharge - late provisional filing fee or cover sheet                     |  |
| 139           | 130           | 139             | 130      | Non-English specification  |  |
| 147           | 2,520         | 147             | 2,520    | For filing a request for ex parte reexamination                            |  |
| 112           | 920*          | 112             | 920*     | Requesting publication of SIR prior to Examiner action                     |  |
| 113           | 1,840*        | 113             | 1,840*   | Requesting publication of SIR after Examiner action                        |  |
| 115           | 110           | 215             | 55       | Extension for reply within first month                                     |  |
| 116           | 390           | 216             | 195      | Extension for reply within second month                                    |  |
| 117           | 890           | 217             | 445      | Extension for reply within third month                                     |  |
| 118           | 1,390         | 218             | 695      | Extension for reply within fourth month                                    |  |
| 128           | 1,890         | 228             | 945      | Extension for reply within fifth month                                     |  |
| 119           | 310           | 219             | 155      | Notice of Appeal   |  |
| 120           | 310           | 220             | 155      | Filing a brief in support of an appeal                                     |  |
| 121           | 270           | 221             | 135      | Request for oral hearing   |  |
| 138           | 1,510         | 138             | 1,510    | Petition to institute a public use proceeding                              |  |
| 140           | 110           | 240             | 55       | Petition to revive - unavoidable   |  |
| 141           | 1,240         | 241             | 620      | Petition to revive - unintentional   |  |
| 142           | 1,240         | 242             | 620      | Utility issue fee (or reissue)   |  |
| 143           | 440           | 243             | 220      | Design issue fee   |  |
| 144           | 600           | 244             | 300      | Plant issue fee  |  |
| 122           | 130           | 122             | 130      | Petitions to the Commissioner  |  |
| 123           | 50            | 123             | 50       | Processing fee under 37 CFR 1.17(q)  |  |
| 126           | 180           | 126             | 180      | Submission of Information Disclosure Stmt                                  |  |
| 581           | 40            | 581             | 40       | Recording each patent assignment per property (times number of properties) |  |
| 146           | 710           | 246             | 355      | Filing a submission after final rejection (37 CFR § 1.129(a))              |  |
| 149           | 710           | 249             | 355      | For each additional invention to be examined (37 CFR § 1.129(b))           |  |
| 179           | 710           | 279             | 355      | Request for Continued Examination (RCE)                                    |  |
| 169           | 900           | 169             | 900      | Request for expedited examination of a design application                  |  |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

|                   |                    |                                      |        |           |
|-------------------|--------------------|--------------------------------------|--------|-----------|
| SUBMITTED BY      |                    | Complete (if applicable)             |        |           |
| Name (Print/Type) | William O'Driscoll | Registration No.<br>(Attorney/Agent) | 33,294 | Telephone |
| Signature         | William O'Driscoll |                                      |        | Date      |

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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IN THE PATENT APPLICATION OF:

RONNIE R. MOFFITT

U.S. SERIAL NO: UNKNOWN

GROUP: UNKNOWN

FILED: CONCURRENTLY

EXAMINER: UNKNOWN

FOR: DUAL EXHAUST ENERGY RECOVER  
SYSTEM

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La Crosse, Wisconsin  
September 17, 2001

CERTIFICATE OF MAILING BY EXPRESS MAIL

UNDER 37 C.F.R. 1.10

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Dear Sir:

I hereby certify that the attached "Patent Application" is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on September 17, 2001, and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231. The number of the Express Mailing label is EF109330761US.

Respectfully Submitted,



William O'Driscoll  
Registration No. 33,294

Telephone Number: (608) 787-2538